

## **Tab B Return on Investment Program Funding Application for FY 2013**

### **Contact Information:**

#### **Funding to be requested (select only one):**

☒ **IT Enterprise Solution project**

☐ **Agency Specific IT project**

Date: August 31, 2011

Agency Name: Department of Cultural Affairs

Project Name: Infolinx Records Management Application Upgrade

Agency Manager: Jeffrey Dawson, Deputy State Archivist

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Executive Sponsor (Agency Director or Designee): Jerome Thompson, Interim Administrator, Historical Division

**Amount of Funding Requested:** \$42,193

#### Project Description – Section I

The Department of Cultural Affairs (DCA) seeks funding in the amount of \$42,193 to upgrade the Infolinx records management application made available for use by all executive branch agencies. A previous DCA proposal for Return on Investment (ROI) funding to upgrade the Infolinx application was recommended for funding in FY2012, however that proposal was unable to be funded under the FY2012 appropriation. Thus, DCA is submitting a revised proposal for FY2013.

The Infolinx records management application is administered by the State Archives and Records Program (SARP) at the Iowa Department of Cultural Affairs. Infolinx is used by executive branch agencies in managing agency records through their entire scheduled retention period. The application is both descriptive and transactional in nature to facilitate records management functions including initial inventory, transfer of records to the state records center, retrieval as needed for use on agency premises, and scheduled records destruction.

The Infolinx application resides on a state web server and the data content resides on a state SQL server. Access to the web based Infolinx application is restricted to users authorized by the respective state agencies.

Infolinx is used by state agencies for in house control of records disposition as well as for control of inactive records held on behalf of those state agencies at the State Records Center. All agencies holding records at the State Records Center are required to use the

Infolinx application for management of those holdings. Thirty-six state agencies currently house agency records at the State Records Center. It is hoped that making the upgraded version to other state agencies that do not actively use the records center will, however, prove beneficial to those agencies' in house records management control.

Authorized state agency users have access to descriptive information in Infolinx:

- 1) Agency records inventory at one or more levels of description, as appropriate
  - a) Record container/box
  - b) Record folder
  - c) Record document/record item
- 2) Records retention schedules authorized by the State Records Commission for state agency use
- 3) Agency users authorized by state agencies to use Infolinx
- 4) Locations of agency records both on agency premises and at the State Records Center

According to the system role assigned by a state agency, an authorized user can perform the following tasks:

- 1) Create descriptive entries concerning the contents of the box, folder, and item. This inventory information is maintained in Infolinx until the box, folder, item is destroyed
- 2) Propose transfer of inactive records from agency premises to the State Records Center
- 3) Request physical retrievals (checkouts) of agency records from the records center for use on agency premises
- 5) Propose new records retention schedules
- 6) Enter new users in Infolinx to expedite the user's access to these tasks.
- 7) Print labels for boxes, folders, and items from descriptive entries in Infolinx.
- 8) Create and save customized queries for specific information.
- 9) Generate pre-defined reports concerning records eligible for destruction, record holdings, record locations, etc.

The State Archives and Records Program uses Infolinx to:

- 1) Perform any tasks that authorized agency users can perform (above).

2) Create Infolinx identities for agency records officers who in turn can create identities for agency users.

3) Generate lists of agency records that are eligible for destruction.

State agency records documented in the Infolinx inventory are mandatorily associated with authorized records retention schedules. Infolinx, thus, automatically calculates the scheduled destruction date of documented records. State agencies and SARP may then obtain reports of agency records eligible for destruction at any point in time and, upon authorization and performance of physical records destruction, report destroyed entries and remove those entries from the inventory.

3) Generate lists of record retrievals requested by agencies so the SARP can retrieve and provide them to the requesting agencies.

4) Delete information regarding destroyed records.

5) Manage records center storage space.

6) Change records locations using barcode technology.

## Expected Results – Section II

The Infolinx version 2.0 presently in use dates from 2005. It was acquired with one-time funding from a private foundation. Experience with version 2.0 has brought to light certain limitations that have been addressed in subsequent versions, including current version 3.2. Acquisition of version 3.2 would afford more efficient performance of records management functions, particularly in facilitating SARP procedural refinements.

Improved functions available in version 3.2 include the following features:

- User Interface
  - Completely redesigned application interface per Web 2.0 standards
    - Extensive incorporation of Ajax
    - Compliant with IE 6.0 and above, Chrome, and Firefox
  - Configurable menus now supported
  - Role-level configuration of home page now included
  - Role-level preferences now available
  - Pop-up information now included
  - Application instant messaging now included
  - Completely updated, context-sensitive Help Manual
- Data Manipulation

- Introduction of new range-based data fields
- Enhanced searching capability
  - Keyword (e.g. 'Today') now supported
    - - Searching of ranged values
      - Searching of checkbox fields improved
- Increased functionality for parent/child lists
- Filtering of deleted items now supported
- Undelete functionality now available
- Expunging of items now supported
- Update & View functionality introduced
- Increased 'Is Missing' functionality
- Export queries may now be saved
- Reports
  - Introduction of Microsoft Reports replacing Crystal Reports
  - On-demand out-of-process capability now included
  - Scheduling of report execution now supported
- Workflow notifications
  - Configuration of action or data-based email notifications now supported
- Application History
  - Interface improved
  - Archiving of history now supported
  - Application configuration history now included
  - Login and session history now included
- Request
  - Additional support for pending and rejected requests
  - Request history more robust
  - Fulfillment method configurable
  - Reconciliation of batch imported requests
  - Request for pickup (re-file) now supported
- Retention
  - Record Series definition flexibility increased
  - Auto-assignment of Disposition batch numbers
  - Accession/Transfer process more fully supported
- Security
  - Advanced data/functionality hybrid model now supported
  - Maximum number of checked-out items now configurable
  - Forms authentication password management model extended
    - Length, content, expiration, and reuse parameters now configurable
  - Application licensing functionality improved
- Technical
  - SQL Server 2008 now supported
  - Server 2008 now supported
  - IIS 7.0 and ASP.NET 3.5 now supported
  - SQL Server-specific data access layer now implemented

- Internationalization support (date formats) increased
- Deepened integration with Laserfiche ECM software
- Optional Features
  - Enhanced storage and process based billing support
  - Space Management functionality has been increased
  - Support for Supply Items management
  - Support for Advanced Retention Management
  - Support for Advanced Legal Hold management
  - Location Reconciliation functionality

### Financial Analysis – Section III

Enclosure one provides the estimated costs of this project. The total proposal for this upgrade is \$42,193.

The total cost includes:

Infolinx application software	24, 995
upgraded SQL server software (SQL Server 2008)	700
upgraded Web server software (Windows Server 2008)	700
initial year's Infolinx annual maintenance fee	8248
onsite training by Infolinx	1,800
upgraded hand held barcode scanners for state records center use with Infolinx	5,750
Total:	42,193

### Auditable Outcome Measures – Section IV

**Improved customer service:** Certain system parameters are presently cumbersome and confusing to users. Experience with the system since 2005 has identified features that would improve user understanding through upgrade to version 3.2. More descriptive field labels, in particular, are expected to reduce users' confusion, even frustration, concerning the needed data at a number of fields. Additionally, existing customizations were obtained in 2005 to support processes that are no longer used. Obtaining version 3.2 would allow revision or replacement of those customizations to support current SARP processes.

Lowered end user confusion concerning the user interface is expected to lessen the frequency of users' need to seek individual assistance with SARP staff. Both users' and SARP staff's time involvement will thus be made more efficient.

**Citizen impact:** Records are maintained by state agencies to facilitate the officially mandated functions they perform. Records are also, within restrictions imposed by law, available for public examination. When constituents or other members of the public request access to records for examination, it is important to provide access to records in a timely manner. The more robust reporting and querying functions of version 3.2 will afford enhanced ability by agencies to identify and locate requested records.

**Cost savings:** Currently the records destruction and records scheduling processes include some manual steps performed outside of Infolinx. Additionally, existing built in queries in version 2.0 used to assist SARP analysis of problems and to create up to date destruction lists do not include adequate fields to perform effective problem solving analysis. Enhancement of query and report capabilities, particularly those affecting destruction and records scheduling functions, will afford greater efficiency in SARP staff time to carry out those processes by reducing laborious manual processes.

**Project reengineering:** Infolinx can be configured to specific program needs. Infolinx staff is available to purchasers to customize this application.

**Source of funds:** Under Code Chapter 305, the agency is authorized to assess fees for records management. Currently no fees are assessed; however this route may be taken if other funds cannot be found to provide this enterprise-wide service. Enhanced storage space management and process based billing support is available through version 3.2 to support fees assessment.

**Tangible/Intangible benefits:** Improved Infolinx features combined with SARP procedures should enhance users' confidence, not only in their own use of the software, but also in the ability of SARP to assist agencies in meeting records management needs.

Enclosure One, Financial Analysis Spreadsheet to Return on Investment (ROI) Program Funding Application					
Agency Name: Cultural Affairs					
Application Name: Infolinx Records Management Application Upgrade					
<b>Table One: Estimated Project Cost</b>					
	FY13	FY14	FY15	FY16	FY17
Development and Implementation Costs	\$33,945	\$0	\$0	\$0	\$0
Recurring Costs	\$8,248	\$8,248	\$8,248	\$8,248	\$8,248
Total Costs	\$42,193	\$8,248	\$8,248	\$8,248	\$8,248
<b>Table Two: Percentage of Costs From</b>					
General Fund		100	100	100	100
Federal or other funding					
Pooled Technology Fund	100				
<b>Table Three: Projected Reduction in Expense</b>					
For Requesting Agency	\$29,093	\$29,093	\$29,093	\$29,093	\$29,093
For Other State Agencies	\$0	\$0	\$0	\$0	\$0
TOTAL Cost Reductions	\$0	\$29,093	\$29,093	\$29,093	\$29,093
<b>Table Four: Calculated Estimated Return on Investment</b>					
Total projected cost from table one	\$42,193	\$8,248	\$8,248	\$8,248	\$8,248
Total projected cost reductions from table three	\$0	\$29,093	\$29,093	\$29,093	\$29,093
Projected Net Benefit to the State of Iowa	-\$42,193	\$20,845	\$20,845	\$20,845	\$20,845